

#### **4. POLICY REGARDING SOURCE APPROVAL REQUESTS (SARs)**

a. Each SAR package shall be limited to one (1) item or assembly per request, except for CATEGORY I. However, for assemblies that contain multiple procurable piece parts, a separate SAR package does not need to be submitted for each procurable piece part if all information has been provided with the assembly SAR. Submit SARs to the following address:

Commander  
U.S. Army Aviation and Missile Command  
ATTN: AMSAM-RD-AE-I-C-F  
Redstone Arsenal, AI 35898-5000  
(256) 313-4909 / Fax (256) 313-4923

**NOTE:** *Since a government contractor may have access to your company's data, the following agreement should be completed and submitted as part of the SAR Package:*

#### **AGREEMENT**

##### **Exchange of Proprietary/Limited Rights Data**

**Between**

**«Company»**

**And**

**Avion, Incorporated**

Avion, Inc., operating as a contractor to the U.S. Army Aviation and Missile Command, may require access to data in the possession of «Company» or that is considered to be proprietary. It is agreed:

«Company» has no obligation to supply proprietary information under this agreement.

For data that is provided, Avion, Inc. shall take all necessary steps to preserve proprietary information in confidence. Access to proprietary information shall be restricted to only those employees which have a need to know and who have been advised of all restrictions regarding disclosure and use.

Avion, Inc shall use the proprietary information for the sole purpose of providing support to the U.S. Army Aviation and Missile Command relative to the Flight Safety Parts Program / testing and inspection of critical parts and technical review of Source Approval Requests.

All information received shall remain the property of «Company» and shall be returned to «Company» upon request.

Avion, Inc. will not disclose technical data to any country, foreign national, or firm (foreign or domestic).

No classified data will be requested by Avion, Inc. or provided by «Company» under the terms of this agreement.

This agreement will be effective upon the date of signature by «Company» and shall extend for a three-year period from that date.

<b>Avion, Inc.</b>	<b>«Company»</b>
Signature: _____	Signature: _____
Typed or Printed Name: <u>Gary W. Donald</u> _____	Typed or Printed Name: _____
Title: <u>President</u> _____	Title: _____
Date: _____	Date: _____

b. Complete Documentation. Your request must be complete in accordance with the stated requirements. If your SAR package is incomplete, you will be notified by return letter. Missing information will be identified, and you will be given 45 days to respond to our request for additional information. If no response is received within 45 days, the SAR will be closed. During the review process, you may be requested to furnish additional information, testing, special licenses, samples, or on-site inspection. Approval cannot be guaranteed.

c. Source Approval Request (SAR) Format. All SARs must be organized in the order set forth in paragraph 6, SOURCE APPROVAL REQUEST REQUIREMENTS, as clarified in paragraph 6.r. Do not assemble the SAR in a binder: it takes up too much file space and usually doesn't fit in the file cabinet. A table of contents should be included. This format will greatly aid our staff in evaluating your request.

d. Surplus Material. These instructions do not apply to surplus offers. Surplus offers may only be quoted when authorized in response to a specific government solicitation.

e. Subcontractors/Vendors. If you are a manufacturer who subcontracts part of the work, your request for source approval must provide the names, addresses, Contractor and Government Entity (CAGE) codes and telephone numbers of all subcontractors or vendors. You must also specify the part of the work to be done by each subcontractor and the part of the work you will do yourself. For controlled source parts, documentation from the subcontractor(s) must be included which indicates a willingness to perform the identified tasks. If you apply under equivalency, this information is required for both the qualification part and the equivalent part. For component pieces, stock materials, and Military Standard parts, prime contractor or Government Qualified Products list approval is sufficient. For flight safety part critical characteristic processes, subcontractors and vendors must be approved sources.

f. Non-manufacturers. If you are not the manufacturer of the item, the actual manufacturer must be an approved source. Your request should identify you as a non-manufacturing source, and should provide the name, address, CAGE code, and telephone number of the approved manufacturer. Documentation from your vendor must be included which indicates his willingness to perform the identified tasks on controlled source parts. Should you wish to use a source which has not been previously approved, a complete SAR package for that manufacturer must be submitted for the item.

g. Parts on Active Solicitation. We recommend that SARs be submitted based on the technical information in the CASL package. Due to time constraint's and lead times involved, cannot guarantee expedited processing of SARs submitted in response to a solicitation announcement in the Commerce Business Daily

(CBD). All SARs will be processed in the order received. You will be afforded the opportunity (if approved) to bid on solicitations subsequent to your approval.

NOTE - Policy is that a proposed award will not be delayed to accommodate processing a SAR submitted in response to a CBD announcement. Once a solicitation appears in the CBD, there is not normally enough time to process your SAR for the current solicitation. The contracting officer will not delay a proposed award to provide a potential offeror an opportunity to demonstrate his ability to meet the standards specified for qualification (see FAR 9.202(e)). However, you may always request a solicitation from the buyer. If your business decision is to proceed with an offer, notify the buyer that you are also submitting a SAR.

h. Parts Not on Active Solicitation. You may submit a SAR on any item managed by, whether or not it currently appears in the Competition Advocate's Shopping List (CASL).

i. Notification of Approval/Disapproval. If approved subsequent to review of your SAR, you will receive a letter from stating that you are approved and that your firm's name and Cage code have been added to the Spares Technical Data Package (STDP) for that part. If disapproved, you will be furnished an explanation of the basis of the disapproval.

j. Flight Safety Parts Requiring Engineering Testing. The U.S. Army's policy is to procure Flight Safety Parts (FSPs) which require engineering testing only from sources whose parts have satisfied the engineering test requirement. To become an eligible source for an FSP requiring engineering testing, a firm must provide written documentation that it has met the engineering test requirement. Untested sources who have delivered the part under an contract and sources currently on contract will be tested by the Government, unless it is determined to not be in the best interest of the Government. If the testing is successfully completed, the company will be eligible for future contracts for the tested part. On future contracts, contractors are responsible for all costs associated with testing and evaluation, except where the criteria, established in FAR 9.204(a)(2), are satisfied for small business concerns.

k. Performance Items. Items that require qualification testing require that you prove that your product will meet our performance requirements prior to being approved and allowed to bid on that item.

l. Data required for submittal. Data submitted must be OEM approved, and you must use the same configuration/version that specifies in the STDP. AMCOM does not breakout parts with missing or proprietary data.

m. Evaluation. A requirements validation and economic analysis will be performed upon receipt of a SAR to determine if it is in the Government's best interest to proceed. If the validation reveals no anticipated procurement activity in the current fiscal year or in either of the two succeeding fiscal years, the SAR will be closed and you will be notified that no further action will be taken. If the economic analysis indicates no tangible savings, we will advise you that your SAR is being placed in a hold status. Items with probable cost savings will be processed ahead of those without potential savings.

n. Castings and Forgings. If a part requires a casting or forging, the casting or forging shall be obtained from an approved source. If an additional source wishes to be approved, it shall be done in accordance with FORG-STD-1 for forgings, or in accordance with CAST-STD-1 for castings, as specified in the STDP. This qualification must be completed prior to contract award.

o. Spiral Bevel Gears. Spiral bevel gears require that sources must have in their possession the required working and silver control master gears necessary for acceptance of production spiral bevel gears, or written documentation giving them access to those master gears. Development of "equivalent" master gears that are not coordinated/calibrated to the golden master gear held by the prime contractor is not allowed. This action is necessary to ensure interchangeability with all mating gears.

## **5. SOURCE APPROVAL REQUEST (SAR) CATEGORIES**

a. CATEGORY I. FULLY COMPETITIVE PARTS

Fully competitive items have an Acquisition Method Reason Code (AMRC) of 1G or 2G. No SAR is required to be placed on the bidders list, but registration in the Central Contractors Registration (CCR) is required. In addition, small business contractors may fill out 's Small Business Capability Survey (Attachment II). Contractor registration at the U.S. Army Aviation and Missile Command () utilizing the Standard Automated Bidders List (SABL) is no longer used. Contractors who conduct business, or who are interested in conducting business with the Department of Defense (DoD), will register in the CCR database through the worldwide web. The CCR web may be accessed at <http://www.ccr.dlis.dla.mil>. Additionally, a paper form for registration may be obtained from the DoD Commerce Information Center at 1-888-227-2423 or you may fax to (616) 961-7243.

NOTE 1 - Items which you believe should be fully competitive but which are **not** coded 1G or 2G should be brought to the Government's attention by letter. The Government will respond prior to your preparing a SAR for such items.

NOTE 2 - The inclusion of your firm on a particular mailing list does not guarantee that you will automatically receive all solicitations for the item. The solicitation mailing list will be used in accordance with FAR 14.205. However, solicitations will be furnished upon request in accordance with FAR 5.102. Offers will not be disregarded solely because the offeror was not formally solicited. You are encouraged to subscribe to the CBD to stay informed about 's current acquisitions. See paragraph 9.g.

b. CATEGORY II. ACTUAL MANUFACTURER (NON-FLIGHT SAFETY PARTS):

Items which you presently manufacture or have satisfactorily manufactured in production quantities in the last four years for the OEM, one of its subcontractors, or another Department of Defense (DOD) agency. These are controlled source items.

c. CATEGORY III. EQUIVALENCY (MANUFACTURER OF AN EQUIVALENT ITEM -- NON-FLIGHT SAFETY PART):

You will need to substantiate your manufacturing capabilities and that you have manufactured production quantities of acceptable equivalent parts for the OEM, its subcontractors, or a DOD agency in the last four years. It is acceptable to submit multiple equivalent parts to substantiate manufacture by equivalency, since a single part may not be sufficient.

d. CATEGORY IV. DEMONSTRATED ENGINEERING & MANUFACTURING CAPABILITIES:

This category includes specification and source controlled items, alternate sources for castings and forgings, items requiring engineering testing for which you cannot establish equivalency, and other items that will create a new configuration but still meet form, fit, and function of the part they are replacing. This category does not include Flight Safety Parts (FSPs). In order for an item to qualify under this category, must be able to establish test requirements with accept/reject criteria. As a potential new source, you will be required to demonstrate that you and your vendors, sub-vendors, etc., have adequate engineering expertise and manufacturing or production capabilities to manufacture, inspect, and test the component or item in accordance with all applicable drawings, process specifications, and test specifications. On site inspection of these elements may be required by the Government. Substantiation testing, witnessed by the Government, will be required to validate design integrity. You must supply samples of the part on which you seek approval (manufactured at your expense). Testing costs must generally be borne by the contractor requesting source approval. This testing may include form, fit, and function checks, endurance testing, and/or performance testing.

e. CATEGORY V. FLIGHT SAFETY PARTS (FSPs):

Items which have been designated FSPs by AMCOM. Your request under this category can be as an

actual manufacturer [V(A)], or based on equivalency [V(B)]. It is acceptable to submit multiple equivalent parts to substantiate manufacture by equivalency, since a single part may not be sufficient. FSPs which require engineering testing, shall be procured only from sources whose parts have previously met the engineering test requirements.

Items which have been designated FSPs requiring Engineering Testing (see Aviation Flight Safety Parts List) by AMCOM. Your request under this category [V(C)], will require the engineering test requirements to be satisfied prior to contract award. Submit a letter that states the part you wish to become approved for. We will notify you of the testing requirements and approximate testing costs. We will also notify you of the number of sources already tested and the sources in process of being tested. If you wish to proceed, you may submit a SAR.

#### DEFINITIONS:

Critical Characteristics: Any feature throughout the life cycle of an FSP (such as dimension, tolerance, finish, material, assembly, manufacturing, inspection process, operation, field maintenance, or depot overhaul requirements) which if non-conforming, missing, or degraded could cause the failure or malfunction of the FSP.

Flight Safety Part (airframe): Any part, assembly, or installation containing a critical characteristic whose failure, malfunction, or absence could cause loss of or serious damage to the aircraft, and/or serious injury or death to the occupants.\*

Flight Safety Part (engine): Any part, assembly, or installation containing a critical characteristic whose failure, malfunction, or absence could cause an uncommanded engine shutdown, and/or a catastrophic engine failure resulting in loss of or serious damage to the aircraft, and/or serious injury or death to the occupants.\*

\*Refer to Mil-STD-882B for further explanation of aircraft and personal safety hazard severity categories.

#### f. CATEGORY VI. FEDERAL AVIATION ADMINISTRATION/PARTS MANUFACTURER APPROVAL (FAA/PMA) CERTIFIED PARTS:

Items for which you have received certification from the FAA/PMA. The FAA/PMA certification will be reviewed to determine if it meets 's requirements for approval. This category excludes the following types of parts:

-Flight Safety Parts

-Repairable Parts

-Surplus Parts

-Engineering Testing Parts

### 6. SOURCE APPROVAL REQUEST (SAR) REQUIREMENTS

NOTE - Not all of these requirements apply to all categories. Refer to SAR Requirements by CASL Category, paragraph 6.r., to determine the specific requirements which apply to your SAR Category.

a. Cover Letter: A cover letter stating that you wish to become an approved source under this CASL Category for a particular part number. The letter should include:

- The Part Number (and dash number, if applicable), NSN, and nomenclature.
- Your firm's name, address, CAGE Code, telephone number, and FAX number.

- A description of your quality program (i.e., MIL-I-45208, MIL-Q-9858, ISO-9000, etc.)
- A current copy of your quality control manual only needs to be submitted initially. However, should any major changes occur, submit the current quality control manual for our records.
- Brochures should be sent with first submission only.
- Synopsis outlining your firm's capabilities, facilities, experience, and equipment list. For all equipment used in the manufacture of the qualification part, outline the accuracy, size, capability, and precision of the equipment. Should any major changes occur in your firm's capabilities, facilities, experience, or equipment list, submit the changes for our records.

b. Qualification Part Drawing: Copies of all drawings for the part showing the current configuration and the top sheet of all applicable specifications necessary to completely manufacture the qualified part.

c. Qualification Part Detailed Manufacturing Plan: A detailed manufacturing plan for the qualification part, including processes, materials, configuration, tolerances, testing, part function, and overall dimensions. Manufacturing plans must list all processes/steps in the proper sequence. Include all special processes.

d. Master Tooling Certification: Certification of possession of or access to any required master tooling, master gears, proof of calibration, and/or special tooling/test equipment current to latest drawing revision. If no master tooling is required, so state.

e. Data Collection: Certification of rights to use technical data in the format of Attachment IV, signed by a person authorized to represent your firm. If proprietary data is involved, you must supply a statement from the owner of that data that gives you the rights to specifically use that piece of data. NOTE: This also applies to the use of data the Government possesses but does not have the right to use in competitive manufacturing.

f. Qualification Part Subcontractor/Vendor List: Names, telephone numbers, CAGE codes, and addresses of all subcontractors/vendors to be used, and vendor/subcontractor part numbers, if applicable. Subcontractors/vendors used for castings, forgings, machining, and exotic materials, as well as for special processes and operations designated as critical characteristics, must be or OEM approved sources.

g. Qualification Part Shipping Document: Copies of Purchase Orders or shipping documents, and proof of acceptance of production quantities for the qualification part(s) from the OEM or another DOD agency in the last four years.

h. Equivalent Part Drawings: Copies of all drawings for the part showing the current configuration and the top sheet of all applicable specifications necessary to completely manufacture the equivalent part.

i. Equivalent Part Shipping Documents: Copies of Purchase Orders or shipping documents and proof of acceptance of production quantities for the equivalent part(s) from the OEM or another DOD agency in the last four years.

j. Comparative Analysis: Provide a detailed comparative analysis of the differences and similarities between the equivalent part(s) and the qualification part for which you are requesting approval. This analysis should include materials, configuration, tolerances, processes, testing, part function, dimensions, etc. A vague analysis is not adequate.

k. Equivalent Part Detailed Manufacturing Plan: Detailed manufacturing plan for the equivalent part, including processes, materials, configuration, tolerances, testing, part function, and overall dimensions. Manufacturing plans must list all processes/steps in the proper sequence. Include all processes.

l. Equivalent Part Subvendor/Vendor List: Names, telephone numbers, CAGE codes, and addresses of all subcontractors/vendors used (including castings, forgings, exotic materials, machining, special processes,

etc.), and vendor/subcontractor part numbers, if applicable.

m. Logistics Support Data: All new configuration parts require provisioning drawings which may be identified with your proprietary markings. For repairable parts/assemblies, complete technical data (all component drawings, specifications, and complete parts list breakdown) necessary for provisioning must be submitted with your SAR. After initial review of the SAR, you will be provided with a detailed list of logistics requirements needed to support the new configuration. Should you be awarded a contract, installation, overhaul, and repair manual updates/creation may also be required at time of First Article Test (FAT) for your contract.

n. QE-STD-1 Compliance: Quality Certification for each FSP (see Attachment X).

o. Test Plans: All proposed test plans necessary to completely manufacture the part must be submitted to for approval prior to beginning testing.

p. FAA/PMA Certification: An FAA/PMA Certification for the item which you have received from the FAA/PMA.

q. Testing to Validate Performance: Testing is done to validate the performance of the item after the test plans have been approved. Test requirements are part specific and are included in the Spares Technical Data Package, Appendix A. Test requirements are also available from the point of contact for SARs.

r. SOURCE APPROVAL REQUEST REQUIREMENTS BY CASL CATEGORY

REQUIREMENT	CATEGORY (See definitions below)							
	I	II	III	IV	V(A)	V(B)	V(C)	VI
6.a COVER LETTER	X	X	X	X	X	X	X	X
6.b QUAL PART DRAWINGS		X	X	X	X	X	X	X
6.c QUAL PART DETAILED MFG PLAN		X	X	X	X	X	X	X
6.d MASTER TOOLING CERTIFICATION		X	X	X	X	X	X	X
6.e DATA COLLECTION		X	X	X	X	X	X	X
6.f QUAL PART SUBKR/VENDOR LIST		X	X	X	X	X	X	X
6.g QUAL PART SHIPPING DOCS		X			X			
6.h EQUIV PART DRAWINGS			X			X		
6.i EQUIV PART SHIPPING DOCS			X			X		
6.j COMPARATIVE ANALYSIS			X			X		
6.k EQUIV PART DETAILED MFG PLAN			X			X		

6.l EQUIV PART SUBKR/VENDOR LIST			X			X		
6.m LOGISTICS SUPPORT DATA				X				X
6.n QE-STD-1 COMPLIANCE					X	X	X	
6.o TEST PLANS				X			X	
6.p FAA/PMA CERTIFICATION								X
6.q TESTING TO VALIDATE PERFORMANCE				X			X	

CATEGORY DEFINITIONS:

I. FULLY COMPETITIVE

II. ACTUAL MANUFACTURE (NON FSP)

III. EQUIVALENT MANUFACTURE (NON FSP)

IV. DEMONSTRATED ENGINEERING & MANUFACTURING CAPABILITY (NON FSP)

V(A). ACTUAL MANUFACTURER (FSP)

V(B). EQUIVALENT MANUFACTURER (FSP)

V(C). ENGINEERING TEST ITEMS (FSP)

VI. FAA/PMA